



REQUEST FOR CATEGORICAL EXCLUSION

PROJECT/ACTIVITY DATA

Project/Activity Name:	Program Design and Learning (PD&L) and Evaluations
Geographic Location(s) (Country/Region):	Peru and Other Selected Countries (Brazil, Colombia, Ecuador, Paraguay, Guyana, Barbados and Surinam)
Amendment (Yes/No), if Yes indicate # (1, 2...):	No
Implementation Start/End Dates (FY or M/D/Y):	June 27, 2019 – Sept 30, 2025
If Amended, specify New End Date:	
Solicitation/Contract/Award Number:	MELS # 72052719D00001 and others
Implementing Partner(s):	EnCompass LLC and others
Bureau Tracking ID:	LAC-IEE-19-35
Tracking ID of Related RCE/IEE (if any):	
Tracking ID of Other, Related Analyses:	

ORGANIZATIONAL/ADMINISTRATIVE DATA

Implementing Operating Unit(s): (e.g. Mission or Bureau or Office)	Peru OU
Other Affected Operating Unit(s):	South America Regional (SAR) OU
Lead BEO Bureau:	LAC
Funding Operating Unit(s): (e.g. Mission or Bureau or Office)	Peru, SAR
Funding Account(s) (if available):	DV/2015/2016/2017 ES-DV/2017/2018 DV/2018/2019 DA/2018
Original Funding Amount:	\$ 15,000,000
If Amended, specify funding amount:	
If Amended, specify new funding total:	
Prepared by:	Paola Buendia
Date Prepared:	6/20/2019

ENVIRONMENTAL COMPLIANCE REVIEW DATA

Analysis Type:	<input checked="" type="checkbox"/> Request for Categorical Exclusion <input type="checkbox"/> Deferral
Environmental Determination(s):	<input type="checkbox"/> Categorical Exclusion <input type="checkbox"/> Deferred (per 22CFR216.3(a)(7)(iv))
Categorical Exclusion Expiration Date (if different from implementation end date):	

Additional Analyses/Reporting Required:			
Climate Risks Identified (#) for Evaluations:	Low <u> X </u>	Moderate <u> </u>	High <u> </u>
Climate Risks Addressed (#) for Evaluations:	Low <u> X </u>	Moderate <u> </u>	High <u> </u>

THRESHOLD DETERMINATION AND SUMMARY OF FINDINGS

PROJECT/ACTIVITY SUMMARY

The purpose of the Program Design and Development (PD&L) and Evaluations activity is to provide USAID/Peru, including its bilateral and South America Regional portfolios, and USAID/Brazil and USAID/Paraguay, and other countries where USAID implements projects/activities, with technical, logistical and advisory services for design, performance management, evaluations, learning, and dissemination activities. Learning and dissemination activities could include invitational travels for host government representatives as study tours. These PD&L and Evaluations activities will be implemented under the USAID/Peru Country Development Cooperation Strategy (CDCS) period 2012-2016, extended through December 26, 2020 and the new USAID/Peru CDCS 2020-2025, currently under design.

Most PD&L and Evaluations activities will be implemented by ad-hoc contractors and the USAID/Peru Monitoring, Evaluation, and Learning for Sustainability (MELS). The MELS is a five-year contract that will provide technical and advisory services in planning, designing, conducting, disseminating, and learning from monitoring and evaluation of the Mission's portfolios, in order to improve the achievement and sustainability of USAID's development outcomes. Additionally, this activity will provide services to strengthen the monitoring, evaluation, and learning capabilities of USAID/Peru staff, targeted local partners and Government of Peru (GOP) stakeholders.

As currently planned, no interventions of PD&L and Evaluations activities will directly affect the environment.

ENVIRONMENTAL DETERMINATIONS

Upon approval of this document, the determinations become affirmed, per Agency regulations (22CFR216).

The following table summarizes the environmental determinations applicable to the specific projects/activities:

TABLE 1: ENVIRONMENTAL DETERMINATIONS

Projects/Activities	Categorical Exclusion Citation (if applicable)	Deferral
Activity 1 Title		
USAID/Peru Monitoring, Evaluation, and Learning for Sustainability Activity		
Sub-activity 1.1 Title Evaluations, assessments and other studies	<p>§216.2(c)(2)(iii) Analyses, studies, academic or research workshops and meetings.</p> <p>§216.2(c)(2)(v) Document and information transfers</p> <p>§216.2(c)(2)(xiv) Studies, projects or programs intended to develop the capability of recipient countries to engage in development planning, except to the extent designed to result in activities directly affecting the environment (such as construction of facilities, etc.)</p> <p>§216.2(c)(2)(xv) Activities that involve the application of design criteria or standards developed and approved by USAID</p>	
Sub-activity 1.2 Title Technical assistance and training in M&E	<p>§216.2(c)(2)(i) Education, technical assistance, or training programs except to the extent such programs include activities directly affecting the environment (such as construction of facilities, etc.)</p> <p>§216.2(c)(2)(v) Document and information transfers</p>	
Sub-activity 1.3 Title Strengthening GOP's M&E capacity	<p>§216.2(c)(2)(i) Education, technical assistance, or training programs except to the extent such programs include activities directly affecting the environment (such as construction of facilities, etc.)</p> <p>§216.2(c)(2)(v) Document and information transfers</p> <p>§216.2(c)(2)(xiv) Studies, projects or programs intended to develop the capability of recipient countries to engage in development planning, except to the extent designed to result in activities directly affecting the environment (such as construction of facilities, etc.)</p>	
Sub-activity 1.4 Title Collaboration, Learning and knowledge management for sustainability	<p>§216.2(c)(2)(i) Education, technical assistance, or training programs except to the extent such programs include activities directly affecting the environment (such as construction of facilities, etc.)</p> <p>§216.2(c)(2)(v) Document and information transfers</p> <p>§216.2(c)(2)(xv) Activities that involve the application of design criteria or standards developed and approved by USAID</p>	
Activity 2 Title		
Other PD&L activities		
Sub-activity 1.1 Title Technical, logistical and advisory services for design, performance management and	<p>§216.2(c)(2)(iii) Analyses, studies, academic or research workshops and meetings.</p> <p>§216.2(c)(2)(v) Document and information transfers</p>	

learning activities.	<p>§216.2(c)(2)(xiv) Studies, projects or programs intended to develop the capability of recipient countries to engage in development planning, except to the extent designed to result in activities directly affecting the environment (such as construction of facilities, etc.)</p> <p>§216.2(c)(2)(xv) Activities that involve the application of design criteria or standards developed and approved by USAID</p>	
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CLIMATE RISK MANAGEMENT

As per the ADS 201.3.4.5 and Mandatory Reference 201mal, planned activities with Program Design and Learning funds, as the case for this activity, are not required to assess and address climate risks.

For sub-activity 1.1 Evaluations activities Table # 4 has been completed. Risks have been rated as low and a decision was made to accept these risks.

BEO SPECIFIED CONDITIONS OF APPROVAL

N/A


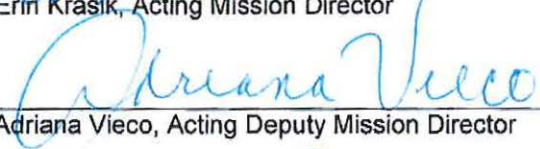
IMPLEMENTATION

In accordance with 22CFR216 and Agency policy, the conditions and requirements of this document become mandatory upon approval. This includes the relevant limitations, conditions and requirements in this document as stated in Section 3 of this RCE and any BEO Specified Conditions of Approval.

USAID APPROVAL OF REQUEST FOR CATEGORICAL EXCLUSION

PROJECT/ACTIVITY NAME: Program Design and Learning (PD&L) and Evaluations
Bureau Tracking ID: LAC-IEE-19-35

[The routing process and associated signature blocks may be customized by Bureau or Mission. Please follow Bureau- or Mission-specific guidance. Include signature blocks in accordance with Bureau and/or Mission policy. At a minimum include the noted required signatures. Concurrence by multiple BEOs required for mixed funding streams and geographic responsibilities. Add/Delete other signatures as necessary.]

Approval:	 Erin Krasik, Acting Mission Director	<u>7/2/2019</u> Date
Clearance:	 Adriana Vieco, Acting Deputy Mission Director	<u>6/26/2019</u> Date
Clearance:	 Victor Merino, Mission Environmental Officer	<u>6/26/2019</u> Date
Clearance:	 Samuel Chincaro, Acting RPO Director	<u>6/26/2019</u> Date
Clearance:	 Miriam Choy, RPO M&E Specialist	<u>6/26/19</u> Date
Concurrence:	 Diana Shannon, Bureau Environmental Officer	<u>7/3/2019</u> Date

1.0 PROJECT AND ACTIVITY DESCRIPTION

1.1 PURPOSE AND SCOPE OF RCE

The purpose of this document is to establish that all proposed activities under the USAID/Peru Monitoring, Evaluation, and Learning for Sustainability Activity (MELS) and other PD&L activities belong to classes of actions eligible for Categorical Exclusions as set out in Agency regulations (22CFR 216.2(c)) and that there are no foreseeable significant direct or indirect impacts that would preclude them from receiving a Categorical Exclusion. Upon approval of this document, the Categorical Exclusions are affirmed for the project/activity. This analysis also documents the results of the project/activity level Climate Risk Management process in accordance with USAID policy (specifically, ADS 201 mandatory reference 201mal). This RCE is a critical element of a mandatory environmental review and compliance process meant to achieve environmentally sound activity design and implementation.

1.2 PROJECT OVERVIEW

The purpose of the USAID/Peru Monitoring, Evaluation, and Learning for Sustainability (MELS) activity is to provide USAID/Peru, including its bilateral and South America Regional portfolios, and USAID/Brazil and USAID/Paraguay, and other countries where USAID implements projects/activities, with technical and advisory services in planning, designing, conducting, disseminating, and learning from monitoring and evaluation (M&E) of the Mission's portfolios, in order to improve the achievement and sustainability of USAID's development outcomes. Additionally, this activity will provide services to strengthen the monitoring, evaluation, and learning capabilities of USAID/Peru staff, targeted local partners and Government of Peru (GOP) stakeholders.

1.3 PROJECT DESCRIPTION

TABLE 2: DEFINED OR ILLUSTRATIVE PROJECTS/ACTIVITIES AND SUB-ACTIVITIES

Activity — USAID/Peru Monitoring, Evaluation, and Learning for Sustainability Activity
Sub-activity 1.1 Evaluations, assessments and other studies
This sub-activity will: <ul style="list-style-type: none">– Design, conduct and disseminate high quality external evaluations – including impact, performance or whole-of-project evaluations;– Design, conduct and disseminate analyses, surveys, assessments and other data collection efforts;– Conduct evaluability assessments to determine whether conducting a planned evaluation is appropriate and feasible;– Conduct background research and analytic expertise to assist USAID/Peru to plan evaluation studies;– Coordinate and hold technical meetings to facilitate stakeholder collaboration for research and evaluation designs for proposed studies;– Design and implement baseline data collection activities, per USAID instruction;– Conduct national or regional level population surveys;– Prepare action plans with stakeholders to implement evaluation recommendations;– Based on evaluation results, draft, edit, and prepare evaluation synthesis for publications related to evaluation, including newsletters and technical journals, and other technical printed or electronic publications;– Conduct data analysis and produce reports on evaluation findings;– Organize and implement workshops, meetings, conferences, and seminars to present and disseminate evaluation findings;

- Contribute knowledge to USAID staff and stakeholders about the effectiveness and impact of USAID investments through innovative channels and products (e.g. conferences, technical meetings, knowledge portals, one-pagers, etc.) to disseminate information and lessons from evaluations and assessments;

Sub-activity 1.2 Technical assistance and training in M&E

Through this sub-activity, the implementing partner will:

- Provide technical assistance to USAID/Peru in updating and implementing the Mission's Performance Management Plan (PMP), and Project Monitoring, Evaluation, and Learning Plans (PMELP), including the use of DIS and GIS tools. ;
- Provide technical assistance, training, and other learning methods, as relevant to strengthen USAID/Peru's Monitoring, Evaluation and Learning (MEL) Team;
- Improve M&E capacities of eight (08) to ten (10) USAID/Peru Implementing partners by designing a capacity building plan for current and new USAID IPs, an on-line M&E course, templates and guides to develop AMELPs, progress reports and final reports, and organizing annual M&E workshops in Lima and in USAID/Peru targeted regions.

Sub-activity 1.3 Strengthening GOP's M&E capacity

Through this sub-activity, the implementing partner will:

- Provide technical assistance to sustainably enhance the M&E capacities of targeted Government of Peru (GOP) partners and major stakeholders, so that they are able to design, conduct and use M&E information by developing an analysis of key stakeholders, and designing a capacity building plan for GOP institutions;
- Support with technical assistance and capacity building activities the GOP lead institutions in M&E (i.e., the National Center for Strategic Planning-CEPLAN, the Ministry of Economy and Finance-MEF) develop policies and tools to promote the use of M&E, and continue strengthening public sector organizations M&E capacities, so that they are able to monitor, design and conduct evaluations, and use information for learning and accountability.

Sub-activity 1.4 Collaboration, Learning and knowledge management for sustainability

Through this sub-activity, the implementing partner will:

- Strengthen USAID/Peru's capacity to become a more effective development organization by providing technical assistance services to support Mission collaboration, learning, and knowledge transfer efforts through the development of a learning plan to support USAID/Peru use of evidence to improve sustainability of its results, a learning and knowledge transfer agenda developed with USAID and implementing partners' collaboration;
- Provide technical assistance for the development and implementation of organizational and technical collaborative learning agendas, which incorporate both performance monitoring and evaluation activities; develop effective processes for managing M&E information and translate data into knowledge, and share the information by organizing annual learning events in Lima and annual regional partner meeting in a Peru targeted regions with implementing partners, GOP counterparts and USAID staff to share USAID/Peru portfolio lessons learned and best practices .

Project/Activity 2 — Other PD&L activities

Sub-activity 2.1 Technical, logistical and advisory services for design, performance management and learning activities.

This activity will cover all additional USAID/Peru and SAR PD&L needs that have not been included in the scope of the MELS activity or go beyond its timeline.

2.0 ENVIRONMENTAL ANALYSIS

2.1 JUSTIFICATION FOR CATEGORICAL EXCLUSION

The activities under the MELS and other PD&L are among the classes of actions listed in 22CFR216.2(c)(2) and have no foreseeable significant direct or indirect adverse effect on the environment. Therefore, under 22CFR216.2(c)(1), neither an IEE nor an EA will be required for

these activities. Instead, a Categorical Exclusion is recommended for the projects/activities described above in Section 1.3 as follows:

TABLE 3: RECOMMENDED DETERMINATION FOR CATEGORICAL EXCLUSION

Activity and Sub-Activity #	Recommended Determination for Categorical Exclusion
Project/Activity 1 Title USAID/Peru Monitoring, Evaluation, and Learning for Sustainability Activity	
Sub-activity 1.1 Evaluations, assessments and other studies	<p>§216.2(c)(2)(iii) Analyses, studies, academic or research workshops and meetings.</p> <p>§216.2(c)(2)(v) Document and information transfers.</p> <p>§216.2(c)(2)(xiv) Studies, projects or programs intended to develop the capability of recipient countries to engage in development planning, except to the extent designed to result in activities directly affecting the environment (such as construction of facilities, etc.).</p> <p>§216.2(c)(2)(xv) Activities that involve the application of design criteria or standards developed and approved by USAID.</p>
Sub-activity 1.2 Technical assistance and training in M&E	<p>§216.2(c)(2)(i) Education, technical assistance, or training programs except to the extent such programs include activities directly affecting the environment (such as construction of facilities, etc.)</p> <p>§216.2(c)(2)(v) Document and information transfers.</p>
Sub-activity 1.3 Strengthening GOP's M&E capacity	<p>§216.2(c)(2)(i) Education, technical assistance, or training programs except to the extent such programs include activities directly affecting the environment (such as construction of facilities, etc.).</p> <p>§216.2(c)(2)(v) Document and information transfers.</p> <p>§216.2(c)(2)(xiv) Studies, projects or programs intended to develop the capability of recipient countries to engage in development planning, except to the extent designed to result in activities directly affecting the environment (such as construction of facilities, etc.).</p>
Sub-activity 1.4 Collaboration, Learning and knowledge management for sustainability	<p>§216.2(c)(2)(i) Education, technical assistance, or training programs except to the extent such programs include activities directly affecting the environment (such as construction of facilities, etc.)</p> <p>§216.2(c)(2)(v) Document and information transfers.</p> <p>§216.2(c)(2)(xv) Activities that involve the application of design criteria or standards developed and approved by USAID.</p>
Project/Activity 2 Title Other PD&L activities	
Sub-activity 1.1 Technical, logistical and advisory services for design, performance management and learning activities.	<p>§216.2(c)(2)(iii) Analyses, studies, academic or research workshops and meetings.</p> <p>§216.2(c)(2)(v) Document and information transfers.</p> <p>§216.2(c)(2)(xiv) Studies, projects or programs intended to develop the capability of recipient countries to engage in development planning, except to the extent designed to result in activities directly affecting the environment (such as construction of facilities, etc.).</p>

	§216.2(c)(2)(xv) Activities that involve the application of design criteria or standards developed and approved by USAID.
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2.2 CLIMATE RISK MANAGEMENT

As per the ADS 201.3.4.5 and Mandatory Reference 201mal, planned activities with Program Design and Learning funds, as the case for this activity, are not required to assess and address climate risks.

For Evaluations activities Table # 4 has been completed. Risks have been rated as low and a decision was made to accept these risks.

TABLE 4. ACTIVITY CLIMATE RISK MANAGEMENT SUMMARY TABLE

Tasks/Defined or Illustrative Interventions	Climate Risks List key risks related to the defined/illustrative interventions identified in the screening and additional assessment.	Risk Rating Low/Moderate/ High	How Risks are Addressed Describe how risks have been addressed in activity design and/or additional steps that will be taken in implementation. If you choose to accept the risk, briefly explain why.	Opportunities to Strengthen Climate Resilience Describe opportunities to achieve multiple development objectives by integrating climate resilience or mitigation measures
Evaluations	Heavy rains and floods likely to occur.	Low	All risks accepted. During planning specific tasks and site visits will take into account most recent climate information.	Coordinate closely with implementing partner.

3.0 LIMITATIONS OF THE CATEGORICAL EXCLUSION

The categorical exclusions recommended in this document apply only to activities and sub-activities described herein.

Other activities that may arise must be subject to an environmental analysis and the appropriate documentation prepared and approved, whether it be a new Request for Categorical Exclusion, an amendment, or other type of 22CFR216 document.

It is confirmed that the activities described herein do not involve actions normally having a significant effect on the environment, including those described in 22CFR216.2(d).

3.1 MANDATORY INCLUSION OF ENVIRONMENTAL COMPLIANCE REQUIREMENTS IN SOLICITATIONS, AWARDS, BUDGETS, AND WORK PLANS

USAID will ensure the environmental compliance requirements are incorporated into solicitations, awards, budgets, and work plans, including relevant limitations of Section 3 above. In addition, climate risk management requirements will also be incorporated.

3.2 GENERAL IMPLEMENTATION & MONITORING REQUIREMENTS (IF APPLICABLE)

USAID will ensure that the following requirements are met:

- Provide briefings for Implementing Partner (IP) on environmental compliance responsibilities
- Ensure integration of compliance responsibilities in prime and sub-awards and grant agreements;
- Ensure compliance with applicable partner country requirements
- Annual review of project activities to ensure that scope is still covered by Categorical Exclusion

ATTACHMENTS

None